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| <b>Interview Summary</b> | <b>Application No.</b><br>09/852,222 | <b>Applicant(s)</b><br>ALCALY ET AL. |  |
|                          | <b>Examiner</b><br>Daniel S. Felten  | <b>Art Unit</b><br>3693              |  |

All participants (applicant, applicant's representative, PTO personnel):

(1) Daniel S. Felten.

(3) Timothy Rudderow.

(2) David Leason (Reg. No. 36,195).

(4) \_\_\_\_.

Date of Interview: 05 September 2007.

Type: a) ☐ Telephonic b) ☐ Video Conference  
c) ☒ Personal [copy given to: 1) ☐ applicant 2) ☒ applicant's representative]

Exhibit shown or demonstration conducted: d) ☐ Yes e) ☒ No.  
If Yes, brief description: \_\_\_\_.

Claim(s) discussed: 1.


Identification of prior art discussed: Melnikoff and Sperandeo.

Agreement with respect to the claims f) ☒ was reached. g) ☐ was not reached. h) ☐ N/A.

Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: A general discussion of the field of Invention was performed. It was agreed to amend the "position" with long and short positions to further distinguish applicant's return feature over Melnikoff's net asset value feature. It was also suggested to amend claim language to express that the asset classes are components of the return index. The suggested amendments to the claims seem to overcome the prior art, but will be subject to further search.

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN A NON-EXTENDABLE PERIOD OF THE LONGER OF ONE MONTH OR THIRTY DAYS FROM THIS INTERVIEW DATE, OR THE MAILING DATE OF THIS INTERVIEW SUMMARY FORM, WHICHEVER IS LATER, TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.

  
 EX DANIEL FELTEN  
 AU 3693  
 Business Methods

Examiner Note: You must sign this form unless it is an Attachment to a signed Office action.

\_\_\_\_\_  
Examiner's signature, if required